

FOR UTILITY/DESIGN  
CIP/PCT NATIONAL/PLANT  
ORIGINAL/SUBSTITUTE/SUPPLEMENTAL  
DECLARATIONS

RULE 63 (37 C.F.R. 1.56)  
DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PM & S  
FORM

#3

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the INVENTION ENTITLED

IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

the specification of which (CHECK applicable BOX(ES))

X A. ☐ is attached hereto.

BOX(ES) → B. ☒ was filed on 05/22/00

as U.S. Application No. 09 /

→ C. ☐ was filed as PCT International Application No. PCT/ / on

and (if applicable to U.S. or PCT application) was amended on

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred above. I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56. Except as noted below, I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International Application which designated at least one other country than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International Application, filed by me or my assignee disclosing the subject matter claimed in this application and having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority claimed, before the filing date of this application:

PRIOR FOREIGN APPLICATION(S)

Number	Country	Day/MONTH/Year Filed	Date first Laid-open or Published	Date Patented or Granted	Priority NOT Claimed
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If more prior foreign applications, X box at bottom and continue on attached page.

Except as noted below, I hereby claim domestic priority benefit under 35 U.S.C. 119(e) or 120 and/or 365(c) of the indicated United States applications listed below and PCT international applications listed above or below and, if this is a continuation-in-part (CIP) application, insofar as the subject matter disclosed and claimed in this application is in addition to that disclosed in such prior applications, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of each such prior application and the national or PCT international filing date of this application:

PRIOR U.S. PROVISIONAL, NONPROVISIONAL AND/OR PCT APPLICATION(S)

Application No. (series code/serial no.)	Day/MONTH/Year Filed	Status	Priority NOT Claimed
60/135,493	05/24/99	pending, abandoned, patented	
60/142,853	07/07/99	PENDING	
		PENDING	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint Pillsbury Madison & Sutro LLP, Intellectual Property Group, 1100 New York Avenue, N.W., Ninth Floor, East Tower, Washington, D.C. 20005-3918, telephone number (202) 861-3000 (to whom all communications are to be directed), and the below-named persons (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent, and I hereby authorize them to delete names/numbers below of persons no longer with their firm and to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct the above firm and/or a below attorney in writing to the contrary.

Name	First	Middle Initial	Family Name	Residence	City	State/Foreign Country	Country of Citizenship
Paul N. Kokulis	16773	Dale S. Lazar	28872	Mark G. Paulson	30793	Jack S. Barufka	37087
Raymond F. Lippitt	17519	Paul E. White, Jr.	32011	Stephen C. Glazier	31361	Adam R. Hess	41835
G. Lloyd Knight	17698	Glenn J. Perry	28458	Ruth N. Morduch	31044	William P. Atkins	38821
Carl G. Love	18781	Kendrew H. Colton	30368	Richard H. Zaitlen	27248	Paul L. Sharer	36004
Kevin E. Joyce	20508	G. Paul Edgell	24238	Roger R. Wise	31204		
George M. Sirilla	18221	Lynn E. Eccleston	35861	Jay M. Finkelstein	21082		
Donald J. Bird	25323	Timothy J. Klima	34852	Michael R. Dzwonczyk	36787		
Peter W. Gowdey	25872	David A. Jekorn	32995	W. Patrick Bengtsson	32456		

(1) INVENTOR'S SIGNATURE:

Date: June 6, 2000

ROBERT	H.	GRUBBS	
First	Middle Initial	Family Name	
Residence	SOUTH PASADENA	CALIFORNIA	U.S.A.
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Post Office Address	1700 Spruce Street, South Pasadena, California		
(include Zip Code)	91030		

(2) INVENTOR'S SIGNATURE:

Date: June 12, 2000

MATTHIAS	SCHOLL		
First	Middle Initial	Family Name	
Residence	ARCADIA	CALIFORNIA	GERMAN
City	State/Foreign Country	Country of Citizenship	
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(include Zip Code)	91003 6		

FOR ADDITIONAL INVENTORS, "X" box ☐ and proceed on the attached page to list each additional inventor.  
☐ See additional foreign priorities on attached page (incorporated herein by reference).

Atty. Dkt. No. PMS-260726  
(M#)

Inventor(s): Grubbs et al.  
Appln. No.: 09/ 576, 370 or Patent No.: \_\_\_\_\_  
Filed: 05/22/00 or Issued.: \_\_\_\_\_  
Title: IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

PMS-260726 / CIT-3021

M# / Client Ref.

SMALL ENTITY STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27 (b)) - **NONPROFIT ORGANIZATION**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below.

NAME OF ORGANIZATION CALIFORNIA INSTITUTE OF TECHNOLOGY  
ADDRESS OF ORGANIZATION 1200 E. California Boulevard, M/S 201-85, Pasadena, CA 91125  
TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3)) IF  
LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

**I hereby state** that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, with regard to the invention **entitled as above, invented by the above inventor(s)** and described in

x → ☐ the specification filed herewith  
one → ☒ Application No. 09/ 576, 370, filed 05/22/00  
box → ☐ Patent No. \_\_\_\_\_, issued

**I hereby state** that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each small entity individual, concern or organization having rights to the invention is listed below in (A) and (B) and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

(A) FULL NAME of assignee/licensee/grantee/conveyee\* CALIFORNIA INSTITUTE OF TECHNOLOGY  
ADDRESS 1200 E. California Boulevard, M/S 201-85, Pasadena, CA 91125

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

(B) FULL NAME of assignee/licensee/grantee/conveyee\* \_\_\_\_\_  
ADDRESS \_\_\_\_\_

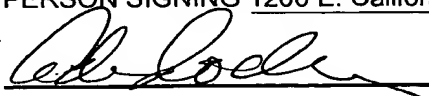
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

\*NOTE: Separate statement is required from each person, concern or organization named in (A) and (B) above having rights to the invention, averring to his/her/its status as a small entity. (37 CFR 1.27)

I acknowledge the duty to file, in this case, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Adam Cochran  
TITLE IN ORGANIZATION Intellectual Property Counsel  
ADDRESS OF PERSON SIGNING 1200 E. California Boulevard, M/S 201-85, Pasadena, CA 91125

SIGNATURE



DATE

May 31, 2000

